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FOR

**METHODS AND APPARATUS FOR EXECUTING A TRANSACTION  
TASK WITHIN A TRANSACTION PROCESSING SYSTEM  
EMPLOYING SYMMETRIC MULTIPROCESSORS**

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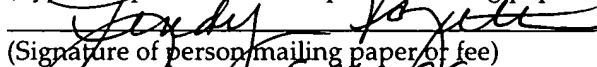
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**METHODS AND APPARATUS FOR EXECUTING A TRANSACTION TASK  
WITHIN A TRANSACTION PROCESSING SYSTEM EMPLOYING  
SYMMETRIC MULTIPROCESSORS**

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**FIELD OF THE INVENTION**

The present invention relates generally to the field of transaction processing. More specifically, the present invention relates to the executing of a transaction task within a transaction processing system employing a multiprocessor (MP) architecture.

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**BACKGROUND OF THE INVENTION**

Historically, transaction processing systems, such as for example Automatic Call Distributors (ACDs), have employed multiple processors and multiple operating systems for managing various tasks, including call routing, within such transaction processing systems. For example, in an exemplary ACD, a single processor and a single operating system may be dedicated to servicing non-critical tasks, such as historical and real-time reporting, database administration and system maintenance tasks. A further single processor and a single operating system within the ACD may then be dedicated to servicing real-time, critical tasks, such as ring no answer timing and other central office signaling tasks. Accordingly, the different operating systems may be utilized for servicing the respective non-critical tasks and the real-time, critical tasks. For example, the reporting, administration and maintenance tasks may be performed by a multipurpose operating system

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Responsive to an event, a workflow associated with the event is identified.

- Other features of the present invention will be apparent from the accompanying drawings and from the detailed description which follows.

## BRIEF DESCRIPTION OF THE DRAWINGS

The present invention is illustrated by way of example and not limitation in the figures of the accompanying drawings, in which like references indicate similar elements and in which:

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**Figure 1** is a block diagram illustrating a transaction processing system wherein separate and distinct transaction processing subsystems are dedicated to handling different types of tasks.

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**Figure 2** is a block diagram illustrating a transaction processing system, according to an exemplary embodiment of the present invention, within which the present invention may be implemented and performed.

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**Figure 3** is a block diagram illustrating an exemplary transaction processing system in the form of a multi-site call center environment that may include a number of the transaction processing systems shown in **Figure 2**.

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**Figure 4** is a block diagram illustrating a call center site, according to an exemplary embodiment of the present invention, having an alternative architecture from the call center site shown in **Figure 3**.

**Figures 5A and 5B** are block diagrams illustrating a workflow

execution system, according to an exemplary embodiment of the present invention, that may be employed within a workflow server engine or workflow router described with reference to **Figure 4**.

5           **Figure 6** is a block diagram illustrating the structure of an exemplary event object.

**Figure 7** is a block diagram illustrating the structure of an exemplary task object.

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**Figure 8** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of creating task object that is queued within a task queue illustrated in **Figure 5**.

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**Figure 9** is a flowchart illustrating a method, according to an exemplary embodiment of the present invention, of executing a transaction task within a multiprocessor system, such as a Symmetrical Multiprocessor (SMP) system.

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**Figure 10** is a block diagram providing a conceptual representation of the creation of event and task objects.

Other features of the present invention will be apparent from the

accompanying drawings and from the detailed description which follows.

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## DETAILED DESCRIPTION

A method and apparatus for executing a transaction task within a multiprocessor (MP) transaction processing system are described. In the following description, for the purposes of explanation, numerous specific  
5 details are set forth in order to provide a thorough understanding of the present invention. It will be evident, however, to one skilled in the art that the present invention may be practiced without these specific details.

For the purposes of the present specification, the term "workflow" shall be taken to mean a sequence of steps that are performed to, at least  
10 partially, process a transaction. Further, the term "task" shall be taken to mean a process, method, operation or step that implements the performance of a workflow sequence. A task may furthermore execute a series of "sub-tasks".

The term "thread" shall be taken to refer to any entity to which an  
15 operating system allocates processor time within a computer system. Optionally, a thread may execute any part of an application's code, including a part currently being executed by another thread instance. All threads of a process may share a virtual address space, global variables, and operating system resources of the process. A process may include one or  
20 more threads that run in the context of the process. A "process" may be an application that may include a private virtual address space, code, data and other operating system resources (e.g., files, pipes and synchronization objects that are visible to the process).



### Exemplary Transaction Processing Systems

**Figure 1** is a block diagram illustrating a transaction processing system 10 wherein separate and distinct transaction processing subsystems 12 and 14 are dedicated to handling different types of tasks. Specifically, in the subsystem 12, a single central processing unit (CPU) 16 and a single operating system 18 service a number of non-critical applications, such as for example, a historical reporting application, a database administration application, and a system maintenance application. In the subsystem 14, a single CPU 20 and a single operating system 22 service a number of real-time, critical applications, such as a central office signaling application. A transaction processing system 10, such as that illustrated in **Figure 1**, may prove to have inadequate resources to respond to peak performance demands. For example, the subsystem 14 may prove incapable of handling an unusually high level of central office signaling.

**Figure 2** is a block diagram illustrating a transaction processing system 30, such as for example an ACD, including a multiprocessor (MP) transaction processing subsystem 31 within which a method, according to an exemplary embodiment of the present invention, of executing a transaction task may be performed. The transaction processing subsystem 31 may be dedicated to performing a specific task within the transaction processing system 30, such as for example transaction routing. Examples of transaction routing include telephone call routing, e-mail routing, and Web request

routing, as are described in further detail below, from a source to a software or human agent.

The transaction processing subsystem 31 may employ a Symmetric Multiprocessing (SMP) architecture and include a bank of processors 32 that share a memory 34 and an input/output (I/O) subsystem 36. The bank of processors 32 may include between two (2) and thirty-two (32) processors, each of which may be an Intel Pentium® Pro or Pentium II® processor manufactured by Intel Corp. of Santa Clara, California, or a SPARC microprocessor manufactured by Sun Microelectronics of Mountain View, California. The processors 32, the shared I/O subsystem 36 and the shared memory 34 are all controlled by a single executing SMP-enabled operating system 38 that resides in the shared memory 34. Examples of an SMP-enabled operating system 38 include the Windows NT® operating system developed by Microsoft Corp. of Redmond, Washington state, the OS/2 operating system developed by IBM Corp., or a variant of the Unix operating system, such as the Solaris® operating system. The shared memory 34 is furthermore shown to host both non-critical and critical real-time applications, such as a reporting application 40, an administrative application 42 and a signaling application 44.

In a further embodiment of the present invention, the transaction processing system 30 may comprise a clustered SMP system, in which case a number of SMP systems, such as that illustrated as 31, may be included within the transaction processing system 30.

### Exemplary Transaction Processing Environment

Figure 3 is a block diagram illustrating an exemplary transaction processing environment 50, in the form of a multi-site call center environment, that may include multiple transaction processing systems 30, such as that shown in Figure 2. Specifically, Figure 3 provides an enterprise-wide view of the transaction processing environment 50 that includes two call center sites 52 and 54 that may be coupled via a Wide Area Network (WAN) 56 to each other and to customer enterprise systems 58, an enterprise workflow server 60 and an information server 62. The customer enterprise systems 58 may execute host-based Computer Telephony Integration (CTI) applications, such as "screen pops" and database lookup applications. The pre-routing workflow server 60 may perform a "pre-call routing" function. Merely for example, the workflow server 60 may collect information from multiple call center sites in a multi-site heterogeneous or homogeneous call center environment, interpret this information, and provide routing information to a Service Control Point (SCP) regarding where to route a call based on the call center site data and user preferences. Accordingly, the workflow server 60 provides a framework for a single system image view of resources on multiple call center sites, and the capability to route a call to a specific call center site based on resources, skills and agent availability at the multiple call center sites. Such routing decisions may be based on near real-time data collected from the respective call center sites, and on the routing preferences specified by users. The information server 62 also provides real-

time and enterprise-wide information to a multi-site call center system administrator, and may also gather information for the purposes of near real-time management of a multi-site call center environment shown in **Figure 3.**

5           Each of the call center sites 52 and 54 is equipped to receive transaction requests (e.g., calls, e-mails or network requests) over a variety of media, and to process and facilitate transactions between, for example, a source and a human (or software) agent responsive to such transaction requests. To this end, each of the call center sites 52 and 54 is shown to  
10   include a number of transaction processing systems, namely an e-mail server 64, a web server 66, an Interactive Voice Response (IVR) workflow server 68, an ACD 70, a Computer Telephony Integration (CTI) server 72 and a workflow server 74. Each call center site 52 and 54 is also shown to include a telephony device server 76, an agent access server 78 and agent desktop  
15   clients 80. The ACD 70 is also shown to include call processing functionality 83, whereby telephone calls (e.g., both switched and voice-over-IP calls) may be processed and routed to an available agent teleset (not shown).

          Each of the call center sites 52 and 54 also includes a number of administrative clients 82, whereby a call center site administrator may  
20   configure and edit workflow definitions that define workflows that are executed by various workflow servers within the respective call center sites.

**Figure 4** is a block diagram illustrating a call center site 90, according to an exemplary embodiment of the present invention, having an alternative

architecture to the call center sites 52 and 54 illustrated in **Figure 3**.

Specifically, the workflow server engines for directing and routing calls within the call center sites 52 and 54 of **Figure 3** are shown to be distributed over a number of transaction processing systems, such as the workflow

5 server 74, the IVR workflow server 68, a call center customer relationship server 71, and the CTI server 72. The call center site 90 illustrated in **Figure 4** provides a more integrated environment in which a single workflow server engine 92 within the server 71 routes transaction information over a wide variety of media. The workflow server engine 92 is provided with "events"

10 by a number of event subsystems 94 that receive input from a number of servers, such as for example in the e-mail server 64, the web server 66, and a video server 69. The event subsystem 94 also provides events to the workflow server engine 92 resulting from telephone calls received at a telephony device server 76 via the Public Switched Telephone Network

15 (PSTN) 77 or via the Internet 79.

The call center site 90 includes a number of agent stations 98, each of which may include a teleset 100 via which a human agent may respond to transaction requests received via any of the media servers and a collection of agent desktop applications 102 for facilitating transaction processing over,

20 for example, the Internet utilizing e-mail or the World Wide Web (WWW). For example, the agent desktop applications 102 may include an e-mail client, a browser client, a web collaboration client and a video conferencing client. These agent desktop applications may be highly integrated, or may

be stand-alone applications. Alternatively, each agent station 98 may comprise a software agent, which is able to respond to transaction requests, and process a transaction to completion, in an automated fashion.

The present invention will be described below within the context of a workflow router, which includes a workflow server engine. It will be appreciated that the teachings of the present invention may be applied to any one of the workflow servers, workflow server engines, or call processing functions illustrated in **Figure 3**. Further, the teachings of the present invention are also applicable to the "pre-call routing" workflow servers and "post-call routing" workflow servers that may be employed within a transaction processing environment.

#### Exemplary Workflow Execution System

**Figures 5A and 5B** are block diagrams illustrating a workflow execution system 120, according to an exemplary embodiment of the present invention, that may be employed within any one of the workflow server engines or workflow routers described above. The workflow execution system 120 includes a workflow execution server 122 and a database server 124. The execution server 122 includes a number of event subsystems 126 (also termed "event providers") that generate tasks for a task queue 128 responsive to external transaction occurrences that are communicated to the event subsystem 126 as messages from appropriate clients. Such tasks may be any tasks required for the facilitating of a transaction and for fulfilling system requirements within a transaction processing system. While such

tasks are described below in the context of routing tasks (for routing a transaction to an agent), the tasks could include data storage and retrieval tasks that store and retrieve data pertinent to the transaction. The tasks may also include tasks that facilitate interaction with agents, such as "screen pop" generation. Tasks may also include reporting, maintenance or system administration tasks. Transaction occurrences may include, for example, the receipt of a transaction request (e.g., an e-mail or telephone call), the termination of a transaction by a source (e.g., a client hangs up prior to a queued telephone call being serviced), or a system failure or shutdown for some other reason. As shown in **Figure 5B**, each event subsystem 126 calls a re-entrant task dispatcher 200 that is responsible for creating a task object, or set of task objects that may be executed. The tasks are created responsive to reception of an event generated by the relevant subsystem. Specifically, if an event invokes a workflow, a task dispatcher 200 creates a task object that dispatches to, and queued within, the task queue 128 for later execution. To generate such task objects, a called task dispatcher 200 accesses workflow definitions 208, event definitions 210 and event-workflow binding information 214 stored within the database server 124. A pool of worker threads 202 executes tasks stored within the task queue 128. Task priority logic 230 may determine the priority of a task within the task queue 128 utilizing workflow priority information 216 and/or event priority information 217, both of which are stored within the database server 124. A database server interface 220 facilitates access by task dispatchers 200, the

task queue 128 and the task priority logic 230 to information stored in the database server 124. Task execution by the pool of worker threads 202 furthermore generates messages to a reporting service 222.

### Event Subsystems

5        Each of the event subsystems 126 generates events by calling an event generator routine provided by the execution server 122. Each of the event subsystems 126 furthermore includes a unique subsystem identifier. In one embodiment, the event subsystems may furthermore be classified as being either (1) administrative event subsystems or (2) schedule event subsystems  
10        providing respective administrative and schedule tasks to the tasks queue 128.

         An exemplary event 146, that may be generated by any one of the event subsystems, is illustrated in **Figure 6**, and is shown to include an event identifier 142, a subsystem identifier 144 identifying the subsystem that  
15        generated the event 146, and a property list 140. The property list 140 is a set of variables or parameters represented as name-value pairs. The database server 124 includes a list of all event definitions 210.

         Exemplary event subsystems 126 include an administrative event subsystem that collects TCP/IP messages that control the execution server  
20        122. These messages typically originate from administrative clients 82, such as a workflow builder 132 or an administration console 134, and include a command to be executed by the execution server 122 on the order of the relevant clients. Such commands may include commands directing the



execution server 122 (1) to start, stop, suspend, resume or step a workflow,  
(2) to modify a task being executed within the execution server 122, (3) to  
modify the number of worker threads included within a pool of such  
threads, (4) to add or remove an event-workflow binding, or (5) to suspend,  
5 resume or shutdown the execution server 122.

An exemplary telephony event subsystem 150 collects messages from,  
for example, a CTI server 72 regarding telephone calls received at that  
server. An exemplary schedule event subsystem 152 propagates tasks to the  
task queue 128 according to a schedule specified by, for example, the  
10 administrative console 134. The events generated by the schedule event  
subsystem 152 may be for any subsystem identifier and event identifier, and  
may also comprise command events. An exemplary pre-call routing  
subsystem 154 services pre-routing queries from the PSTN 77, and interacts  
with pre-routing clients using TCP/IP connection-oriented sockets to  
15 provide an interface between such pre-routing clients and the pre-call  
routing subsystem 154. Other event subsystems may include a web event  
subsystem 156 and an e-mail event subsystem 158.

#### Task Dispatcher and Task Queue

The workflow execution server 122 includes a single task queue 128 to  
20 manage tasks received from the task dispatchers 200. As noted above, each  
of the event subsystems 126 generates events that are translated into tasks  
dispatched to the task queue 128. The tasks are prioritized within the task  
queue 128 by task priority logic 230, each task being assigned a default

priority of zero (0). The task queue 128 utilizes Adaptive Communication Environment (ACE) synchronization methods to ensure that multiple event subsystems 126 may properly share the task queue 128. ACE is a freely available C++ framework, and provides abstractions for sockets, queues and high-level components. ACE is distributed by Douglas Schmidt at Washington University, and further details regarding ACE can be found at: <http://www.cs.wust.edu/~schmidt/ACE.html>.

Each task dispatcher 200 furthermore uses ACE notification methods to effectively dispatch tasks to the task queue 128. Specifically, a task dispatcher 200 may look to an event header to determine how to handle the relevant event. If the event is identified as being a workflow event, the task dispatcher 200 matches the event to an associated workflow utilizing the event-workflow binding information 214 stored in the database server 124. The task dispatcher 200 utilizes the subsystem identifier 144 and the event identifier 142 of a relevant event to identify an associated workflow. More than one event-workflow binding may be located. If a matching workflow (or set of workflows) is identified, the workflow (or set of workflows) is instantiated by the task dispatcher 200 to create a task object (or multiple task objects) to execute the workflow(s). These task objects are dispatched to the task queue 128. It should thus be noted that an event may have multiple tasks associated therewith.

In addition to workflow centers that are mapped to workflows using the event-workflow binding information 214 in the manner described above,

further event types exist that may conveniently be classified as "task" events and events that may be classified as "command" events. A valid task identifier (not shown) distinguishes a task event 146 in an event header that identifies an associated task. The task dispatcher 200 dispatches a task event  
5 to a task specified and identified by the task identifier. Task events send events to an executing task and do not invoke, create or start new tasks. A command event 146 is dispatched by the task dispatcher 200 to a command interpreter (not shown) to execute an included command. A command event may be handled by the pool of worker threads 202, or may  
10 alternatively be for a subsystem.

#### Task Priority Logic

Within the task queue 128, each task 250 has a unique task identifier 252 associated therewith. **Figure 7** is a block diagram illustrating an exemplary task 250, and shows the task identifier 252. Each task 250 may  
15 furthermore be assigned a priority 254 corresponding to the priority of the event that generated the task. In one embodiment, workflows (as defined by the workflow definitions 208 in the database server 124) may each have priorities associated therewith, and as recorded in the workflow priority information 216, that override the priorities associated with a task based on  
20 an event priority. Again, if no priority for a task is specified, a default priority of zero (0) may be assigned to a task 250. Each task 250 is furthermore shown to include a reference (e.g., a pointer) 256 to a current step or a number of steps that constitute the task 250, a variable context 258

(i.e., data), a pointer to the workflow from which the task 250 was instantiated, at least one method 262 used to execute the task, and a processor affinity 264 identifying a processor within a multiprocessor environment on which the task 250 should preferably be executed. When a sub-task is executed, a stack of the original task and subsequent sub-tasks is maintained for each task object.

#### Pool of Worker threads

The pool of worker threads 202 is responsible for executing the tasks 205 queued within the task queue 128. As each worker thread becomes available, a scheduler 204 identifies the highest priority task from the task queue 128, and feeds the task to the available worker thread that executes a single step of the relevant task. Further details regarding the execution of tasks by the pool of threads, where the pool of threads are executed on a multiprocessor platform, are provided below.

In an alternative embodiment of the present invention, an algorithm implemented within a scheduler associated with the task queue 128 may intelligently determined a "BestMatch" between an available thread and the tasks that are queued within the task queue 128. This "BestMatch" determination may be based on any number of parameters, such as a dynamically assigned priority or processor affinity.

In identifying a task to be attributed to an available worker thread, the scheduler 204 may identify a "real-time" priority associated with a task. Specifically, a task identified as having a "real-time" priority will be

regarded as having a highest priority, and assigned to an available thread ahead of any other tasks not having a "real-time" priority. In one embodiment of present invention, specific threads may be members of a "real-time" process priority class, and a task having a "real-time" priority will  
5 be attributed to such threads by the scheduler.

#### Database Server Interface

As illustrated in **Figure 5**, the execution server 122 has a database connection via the database server interface 220 to the database server 124. In one embodiment of the present invention, this connection to the database  
10 server 124 may be via a Remote Procedure Call (RPC) interface. Upon initialization of the workflow execution server 122, data is loaded from the database server 124. Specifically, the data required at initialization by the workflow execution server 122 includes (1) event-to-workflow bindings, (2) workflow definitions, (3) event definitions, (4) event schedules, and (5)  
15 execution server parameters (e.g., thread pool size).

#### Methodology-Task Creation

**Figure 8** is a flowchart illustrating a method 300, according to an exemplary embodiment of the present invention, of creating a task that is queued within the task queue 128. The method 300 commences at 302, and  
20 proceeds to step 304, where an event occurrence is identified by an event subsystem 126. Merely for example, an ACD 70, shown in **Figure 3**, on receipt of a telephone call, may request a route over a CTI link to an agent.

At step 306, the relevant event subsystem (e.g., the telephony subsystem 150) generates an event, such as that illustrated in **Figure 6**. The event subsystem attributes a priority level to the event based on event content and/or event type. At step 310, the task dispatcher 200 called by the event subsystem  
5 determines an event-workflow binding utilizing the event-workflow binding information 214 that was downloaded to the execution server 122 at initialization. At step 312, the task dispatcher 200 creates a task 250 (and dispatches the task to queue 128) by creating an instantiation of the workflow identified as being associated with the relevant event. The task  
10 250 may be attributed a priority, as described above, based on the priority 314 of an underlying event or on a priority 316 assigned to the workflow. The method 300 then terminates at step 318.

#### Methodology-Task Execution

**Figure 9** is a flowchart illustrating a method 350, according to an  
15 exemplary embodiment of the present invention, of executing a task 250 within a multiprocessor system, such as for example a Symmetrical Multiprocessor (SMP) system. The method 350 commences at 352, and proceeds to step 354, where a worker thread within the pool of threads 202 becomes available as a result of completion of a preceding task. The  
20 available worker thread then receives a task having a highest priority from the task queue 128, as identified by the scheduler 204. At step 356, the worker thread then executes one or more steps of the de-queued task. Specifically, a "dispatcher" within the kernel of an operating system, such as

the Windows NT ® operating system, assigns a thread to which the task is assigned to a processor within the multiprocessor system. In assigning a thread to a processor within such a multiprocessor system, the dispatcher will consider "thread affinity" that may specify a single processor, or group  
5 of processors, on which the thread may execute. In an exemplary embodiment, thread affinity may be determined by a thread affinity mask, in the form of a bit vector representing the processors on which the respective thread is allowed to run. The thread affinity may also be specified by a process affinity mask, for a process within which the thread is  
10 included, that comprises a bit vector specify processors on which the process is allowed to run.

Further, the dispatcher within the kernel of the operating system may recognize "real-time" priorities attributed to certain threads within the pool  
threads 202. Such threads may be dispatched to processors ahead of threads  
15 having non-"real-time" priorities. This is especially applicable in a real-time operating system that guarantees interrupt latency or some other way for threads to obtain a guaranteed execution time.

At the same decision box 358, a determination is then made as to whether task is a "command" task for command execution. If so, the  
20 relevant command is executed at step 360, whereafter the task is destroyed at step 362. Alternatively, should the task not be a command task, a determination is made at decision box 364 as to whether the task is a workflow task. If so, the next step of the relevant task is executed at step

366. Pending task notifications, indicated at 368, cause available exception handlers to set the next step. At decision box 370, a determination is made as to whether the step executed at step 366 was the last step of the task. If not, the method 350 proceeds to make a further determination at decision box 376 whether execution should continue for the same thread. If so, the method 350 loops back to step 366, and a next consecutive step of the relevant task is executed. Following a negative determination at decision box 374, the task is returned to, and again queued within, the task queue 128.

10        If the last step of the task has been executed, as recognized at decision box 370, the task is destroyed at step 362. The method 350 then terminates at step 372.

15        After all actions or steps associated with a task are completed, the thread then grabs the next available task from the task priority queue 128 for execution.

20        Accordingly, it will be appreciated that a task, which at least partially implements a workflow, is executed by any one of the worker threads within the pool of threads 202 that is available, or becomes available. Each of the worker threads within the pool 202 may execute on a designated processor within a bank of processors 32, such as that illustrated in **Figure 2**. In the absence of any processor or thread affinity associated with a task, the task may accordingly be executed on any one of the processors within the bank of processors 32. As events may be both non-critical or real-time



critical events, it will be appreciated that event types are not limited to being handled on one specific processor operating under the direction of one specific operating system. Accordingly, by allowing tasks generated responsive to events of any type to be executed on any one of a bank of processors by any one thread within a pool of threads, a transaction processing system such as that illustrated in **Figure 2** is able to re-distribute resources to threads within the pool of threads 202, and accordingly across a bank of processors 32, to serve specific peak performance demands. Further, scalability of the transaction processing system 30 is enhanced.

**Figure 10** is a block diagram providing a conceptual illustration of the generation of a task 250, that is queued within the task queue 128, responsive to an event 146. Specifically, the event definitions 210, which are stored in the database server 124 shown in **Figure 5**, provide input to both the identification of the event 146 and into the workflow 215 through the event-workflow bindings 214, which are also stored in the database server 124. The workflow 215 may, for example, include the workflow definitions 208 and the workflow priority information 216 stored in the database server 124. The event 146 is then compared to an event rules set 217, which may include the event-workflow bindings 214, to identify a workflow for the given event, considering the event type and the event content. The workflow 215 is then shown to be instantiated as a set of tasks 250 that are propagated by the re-entrant task dispatchers 200 called by the various event subsystems to the task queue 128.

